Mumbai Port Trust
TRANSPARENCY PLAN

First vessel ‘S.S. Lhasa’ entering Indira Docks on 21st March 1914
Mumbai Port Trust : Fact Sheet

- Established in 1873, handling 63 MMT of break bulk, dry bulk, liquid bulk cargo.
- P.O.L. at Jawahar Dweep (35.36 MT).
- Chemical terminal at Pir Pau (3.48 MT).
- Ro-Ro facilities for automobiles (2.1 lakh cars).

<table>
<thead>
<tr>
<th>Facilities</th>
<th>Draught</th>
<th>Berths</th>
<th>Commodities handled</th>
</tr>
</thead>
<tbody>
<tr>
<td>Indira Dock</td>
<td>Inner lock gate 8.84 mtr BPX/BPS 10.5/9.8 mtr</td>
<td>26</td>
<td>Dry Bulk, General cargo, Project cargo, Cruise Vessels</td>
</tr>
<tr>
<td>Jawahar Dweep</td>
<td>14 mtrs</td>
<td>4</td>
<td>Petroleum, Oil, Lubricant</td>
</tr>
<tr>
<td>Pir Pau</td>
<td>11 mtrs</td>
<td>3</td>
<td>Liquid Chemicals</td>
</tr>
<tr>
<td>Hughes Dry Dock</td>
<td>304X30.4 mtrs (LXW)</td>
<td></td>
<td>Ship repairs</td>
</tr>
</tbody>
</table>

- Operating Income - Rs.1461 crore, Operating Surplus - Rs.366.78 Crore, and Operating ratio - 74.90%. Net Surplus after tax - Rs. (-) 332.77 Crore.
- Employees – 9548, Pensioners - 34800
1) Transparency by placing all relevant information on website
2) Transparent System aiming at Minimum Discretion
3) Independent External Scrutiny
4) Stakeholders Interaction
5) Accessibility of Management to Public
6) Transparency Acts/ Policies
7) Transparency in Receipts & Payments
8) Grievance/ Complaint Redressal & Feedback Mechanism
9) Minimization of Discretion through Computerization
10) Vigilance Action
11) Changing Minds Programme
12) Transparent Policies in HR
13) Transparent Policy for Land Allotment & Management
14) Employees’ Grievances Redressal System
15) Incentivization of Integrity
16) Capacity Building
17) Monitoring by the Senior Management
18) Evolving Organisation
1) Transparency by placing all relevant information on website:

Board Decisions, Citizen Charter, Regulations, Procedures, All Circulars, All Tenders are displayed on Mumbai Port’s Website
2) Transparent System with Minimum Discretion:

i) Systemic Improvements in Tender Processes for Transparency (Annexure)
ii) Tender Manuals
iii) Vigilance Compendium
iv) Responsibility Authority Matrix
v) Site Inspection by Dy. Chairman (contracts above Rs.1crore)
vi) Citizen’s Charter
vii) Internal Audit
3) Independent External Scrutiny:

i) Integrity Pact
ii) Integrity Index
iii) CAG Audit
iv) General Finance Rules
v) Third Party Monitoring (above Rs. 3 crore)
vi) Variation Committee
vii) External Performance Audit under ISO
4) Stakeholders Interaction:
   i) Transparency Workshops with Stakeholders
   ii) Grievance redressal meetings with Associations
   iii) Technical Issues Workshops with Stakeholders

5) Accessibility of Management to Public:
   i) Walk in grievance handling at fixed times
   ii) Interaction through Social Media (twitter/ facebook)
   iii) Two Officers appointed for Pensioners’ grievances
6) Transparency Acts/ Policies:

i) Right to Information Act
ii) Whistleblower Policy
iii) Citizen Charter

7) Transparency in Receipts & Payments:

i) E-Payments – NEFT/RTGS
ii) E-Receipts
8) Grievance/ Complaint Redressal & Feedback Mechanism:

i) Grievance Redressal App
ii) Concurrent Feedback App
iii) Trade Grievances
iv) Citizens’ Grievances
9) Minimization of Discretion through Computerization:

i) Access Control System
ii) GIS Mapping
iii) E-Permits/ E-Licences
iv) ERP
v) PCS-2
vi) E Platform for stakeholders
vii) E-Tender
viii) EMD Refunds
ix) E- Office
x) Digitization of Documents
10) Vigilance Action:

i) Vigilance App/ Helplines/ Website

ii) Preventive Vigilance

iii) Punitive Vigilance

iv) Surveillance and Detection

v) Fraud Prevention Initiatives

vi) Vigilance Inspections (onsite/ file/ tenders)

vii) Surprise Inspections

viii) Agreed List

ix) Co-ordination with CBI/ACB

x) Scrutiny of Annual Property Returns

xi) Monitoring of Purchase of Immovable Property

xii) System Studies for improvement

xiii) Chief Technical Examiner (CTE) type Inspection of Major Projects
11) Changing Minds Programme:

i) Motivational Speakers
ii) Regular Meditation Classes
iii) Vigilance Awareness Week
iv) Skits against Corruption

12) Transparent Policies in HR:

i) Transfers in Sensitive Posts
ii) Public Grievance Cell
iii) Periodic Meets with Unions
iv) Transparent Recruitment Policy
13) Transparent Policy for Land Allotment & Management:

i) Renewal at 2012 Market Rates
ii) New Leases at Outright Payment through Tender/Auction Procedure
iii) Vetting Committee/ Oversite Committee
iv) Rules & Regulations to be framed by the Port and Function accordingly.
v) No Residential Real Estate sales to Developers
14) Employees’ Grievances Redressal System:

i) Regular Interaction with Unions
ii) Safety Committee Meeting
iii) Regular Meetings with SC/ST/OBC Association
iv) Sexual Harassment Committee (Women Cell)
v) Employee Grievance Redressal Committee with Appellate Mechanism
15) Incentivization of Integrity:
   i) Coffee with Chairman
   ii) New Ideas Rewards Scheme
   iii) Appreciation Certificates on Republic Day
   iv) Employee of the Month

16) Capacity Building:
   i) Transparency Training
   ii) On the Job Training
   iii) Participation in International Conferences/ Seminars/ Workshops
   iv) Visit to other National/ International Ports
17) Monitoring by the Senior Management:

**Monitoring Tools**
- i) Administration Report
- ii) Annual Accounts/Audit Report
- iii) ISO Audit Report
- iv) Action taken on Board’s Decisions
- iv) Periodical Disclosures

18) Evolving Organisation:

Focus on Organization’s Evolution through dynamism, Vision and Motivation
Thank You!
1. All tenders for procurement of works, goods and services with an estimated value of ₹25 lakhs and above shall be invited through open tendering system by giving advertisement. Tenders with estimated value above ₹2 lakhs, but below ₹25 lakhs (Limited Tender) shall be invited from vendors registered with MbPT through a transparent process. Procedure and threshold limits for registering the vendors shall be decided in the Board from time to time.

2. **Procedure for Limited Tender for value between Rs. 2 lakh and 25 lakh**

   (A)1. (a) Limited tender will be resorted to, if the value of the goods and services to be procured is less than `25 lakhs.

   (b) Copies of the tender shall be sent to all registered vendors of the Port by e-mail and receipt of the same shall be ensured through appropriate means.

   (c) The minimum number of vendors in respect of limited tenders shall be 3.

   (d) Limited tender enquiries shall also be hoisted on the Port website to attract more competition.

   (e) In case of limited tenders, at least 7 days will be allowed to the vendors for submission of the bids.
2. Advertisement shall be given in at least one national daily having wide circulation and in the Indian Trade Journal published by the Director General of Commercial Intelligence and Statistics, Kolkata.

3. All tenders above ₹2 Lakhs shall be published and processed through e-procurement solution developed by NIC accessible through Central Public Procurement Portal (CPPP Portal) or other e-procurement solutions and a link of the same be provided in the official website of the Port. If e-tendering is done through other e-procurement solutions, details of all tender enquiries, related corrigenda and details of contracts awarded thereon simultaneously be published/mirrored on the CPP Portal using XML facility of NIC.

4. Website address of the Port along with the address of e-procurement solution in which the tender is hoisted shall be given in the advertisements in newspapers and Indian Trade Journal. The tender inviting department shall ensure that the entire bidding document is available on the website of e-procurement solution and a link of the same is given on the official website of the Port.

5. All procurement of works, goods and services to be done through e-tendering with effect from 1st Oct 2016.

6. Prospective bidders shall be allowed to download the tender documents from the website.
7. Tender document will contain specific clause giving instructions to the bidders to pay the cost of tender document along with bid submission, if downloaded from the website.

8. In case of global tenders, the Port shall ensure that copies of the tender notice shall be sent to Indian Embassies abroad and foreign Embassies in India.

9. The following minimum time shall be stipulated for submission of bids-

   (1)  Open tenders within the country - 3 weeks
   (2)  Global tenders - 4 weeks

10. Procurement of goods and services from a single source or vendor shall be resorted to only in extreme circumstances giving due justification as stipulated in Rule 154 of GFR.

11. All works costing Rs.50 crores and above shall have an expert in the Tender Committee, preferably from IIT or similar organizations of repute.
B. Preparation of Estimates

In the normal course the estimates should be prepared based on approved Schedule of Rates/DSR mechanism. Where the works are of a specialized nature and such Schedule of Rates are not available, estimates can be prepared by taking rates of those items from the CPWD DSR and PWD DSR in that hierarchy. Even then, if estimates of the items are not available, the system of taking three quotations from prospective vendors can be resorted to only up to an item estimate of `1 lakh. If the item estimate exceeds `1 lakh, the rates in the estimates should be determined by calling an Expression of Interest (Giving a period of one week) in addition to taking three quotations.

C. Pre-qualification criteria

In all cases of specialized nature of work, where inhouse expertise is not available, an outside expert to be associated in formulation of pre-qualification criteria.

D. Refund of Earnest Money Deposit

Refund of EMD shall be done in time bound manner as stated in Finance Circular No. FA/AWC-T-34(58) XII A/1562 dated 07 JAN 2016.
E. Evidence of Work Experience

1. In order to cross verify the work experience claimed by the bidders, TDS certificate from their previous employers shall be insisted as a general condition by all tender inviting departments.

2. In case of difficulty on submission of TDS by bidders, Form 26 AS of IT Department shall be insisted as evidence for establishing work experience.

F. Fraudulent documentation by bidders

1. Submission of fraudulent documents shall be treated as major violation of the tender procedure and in such cases the Port shall resort to forfeiture of EMD/SD/BG of the bidder, apart from blacklisting the firm for the next 3 years.

2. All tender inviting departments shall include this clause in their GCC (General Conditions of Contract) immediately.

3. List of blacklisted bidders should be published on port’s website.
G. Third Party monitoring of works/projects

Third party supervision shall be resorted to in respect of the contracts with following threshold limits –

Civil works – Rs.5 crores and above
Mechanical/Electrical works – `50 lakhs and above.

Provision of third party supervision of works to be made for all the tenders where the inhouse expertise is not available.

Third party empanelment to be done by the IPA/Mumbai Port through a transparent mechanism.

H. Conducting of Tender Committee Meetings

Tender inviting department shall ensure the following:

1. Tender Scrutiny Report is correctly drawn with clear observations.

2. Authenticity of the documents in support of claims by the bidders should be verified and certified by the tender inviting department.
3. A comparative statement shall be prepared in respect of the qualification criteria and the eligibility of each of the bidder. This will be submitted to the Finance Department along with the papers for audit.

4. Pre-audit of the Scrutiny Report and tender documents shall be completed prior to convening of Tender Committee Meeting.

5. Points raised by Finance Department during pre-audit shall be properly examined and tender inviting department shall furnish replies against each point.

6. A detailed note to the Tender Committee shall be circulated in advance clearly mentioning the venue, date and time of the Meeting of the Tender Committee.

7. The standard format of check-list shall be filled up and submitted to the Tender Committee in its meeting. (Copy enclosed as Annexure 1A)

8. Tender Committee proceedings shall be drawn and approved by the Committee Members on the day of meeting or on the next working day.
I. Maintenance of Records relating to Tender

1. Head of Department inviting the tender shall nominate one officer as Officer-in-Charge of the tender. Designation, Address, telephone, cell number and email id of the nominated officer shall be mentioned in the tender document.

2. Officer-in-Charge of the tender shall ensure that all registers/documents/records as per CVC guidelines are maintained by him.

J. Constitution of Variation Committee

1. A Variation Committee shall be constituted for examining extra and excess works executed over and above the estimated cost and extension of time period.

2. The Committee shall comprise an External Expert, FA & CAO, Head of the Tendering Department and Head of the User Department.

3. The Variation Committee shall examine all cases of excess or extra execution of work, procurement and services where the amount of variation is exceeding 10% of the estimated cost of work.

4. The Variation Committee shall meet once in a calendar month to evaluate such proposals for appropriate recommendations.
### K. Tracking of files, documents and bills related to contracts

All movements of files and documents and bills related to all tenders shall be monitored through the Letter Tracking System and/or Tender Management System developed by EDP.

### L. Responsibility Matrix

An Authority Responsibility Matrix of all officials dealing with tender work from the stage of estimate to final execution of contract and payment of bills to be formulated by all the departments and incorporated in the departmental manual. (within 15 days).

### M. Tender Management System

Port to procure immediately a Tender Management System for Civil Engineering works, which can be, with minor modifications, used for Mechanical & Electrical Engineering works with compatibility to ERP.

### N. E-tender

All procurements to be done through e-tendering and all tenders to be processed electronically with immediate effect.
## Template for Furnishing Tender Related Information

<table>
<thead>
<tr>
<th>Department inviting the tender</th>
<th></th>
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</thead>
<tbody>
<tr>
<td>Type of tender</td>
<td>Single / Limited / Open / Global</td>
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<tr>
<td>Tender No.</td>
<td></td>
</tr>
<tr>
<td>Description of the work/procurement</td>
<td></td>
</tr>
<tr>
<td>Estimated cost of contract</td>
<td></td>
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<tr>
<td>Authority approved the tender and date of administrative and financial approval</td>
<td></td>
</tr>
<tr>
<td>Budget Provision</td>
<td></td>
</tr>
<tr>
<td>Date of Publication of Tender</td>
<td></td>
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<tr>
<td>Mode of Publicity (Newspapers/ CPP Portal)</td>
<td></td>
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<tr>
<td>EMD (RL)</td>
<td></td>
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<tr>
<td>Tender due date and time</td>
<td></td>
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<tr>
<td>Extension of time, if any</td>
<td></td>
</tr>
<tr>
<td>No. of tenders received on due date</td>
<td></td>
</tr>
<tr>
<td>Name of bidders</td>
<td></td>
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<tr>
<td>No. of tenders resealed</td>
<td></td>
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<tr>
<td>Reasons for resealing</td>
<td></td>
</tr>
<tr>
<td>No. of tenders not opened</td>
<td></td>
</tr>
<tr>
<td>Reasons for non-opening</td>
<td></td>
</tr>
<tr>
<td>Exemption of EMD, if any (NSIC / MSME / SSI)</td>
<td></td>
</tr>
<tr>
<td>Price quoted by each bidders</td>
<td></td>
</tr>
<tr>
<td>Duties &amp; taxes applicable</td>
<td></td>
</tr>
<tr>
<td>Price Variation Clause</td>
<td></td>
</tr>
<tr>
<td>Name of L1 Bidder and price quoted as per the preliminary scrutiny</td>
<td></td>
</tr>
<tr>
<td>Findings in Tender Scrutiny Report</td>
<td></td>
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<tr>
<td>Pre-Audit Points</td>
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<tr>
<td>Dept.'s response to Pre-Audit points</td>
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<tr>
<td>TC deliberations</td>
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<tr>
<td>TC recommendations</td>
<td></td>
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<tr>
<td>Channel of approval</td>
<td></td>
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<tr>
<td>Date of approval of Competent authority</td>
<td></td>
</tr>
<tr>
<td>Cost of work order and date of issue</td>
<td></td>
</tr>
<tr>
<td>Tender award no. with cost</td>
<td></td>
</tr>
</tbody>
</table>